

12/10/01

J131 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. 9915.007.00

First Inventor or Application Identifier John M. Lancaster et al.

Title SYSTEMS AND METHODS FOR USING DERIVATIVE FINANCIAL PRODUCTS IN CAPACITY-DRIVEN INDUSTRIES

59900/01
01.D.S. 11 54.907

10/01/12

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Commissioner for Patents
Box Patent Application
Washington, DC 202311. ☒ Fee Transmittal Form (e.g. PTO/SB/17)

(Submit an original and a duplicate for fee processing)

ACCOMPANYING APPLICATION PARTS

2. ☒ Specification Total Pages 626. ☒ Assignment Papers (cover sheet & document(s))7. ☐ 37 C.F.R. §3.73(b) Statement (when there is an assignee) ☐ Power of Attorney8. ☐ English Translation Document (if applicable)3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets 39. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations4. ☒ Oath or Declaration Total Pages 310. ☐ Preliminary Amendment11. ☒ White Advance Serial No. Postcarda. ☒ Newly executed (original or copy)12. ☐ Small Entity Status☐ Statement filed in prior application. Status still proper and desired.b. ☐ Copy from a prior application (37 C.F.R. §1.63(d)) (for continuation/divisional with box 15 completed)i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b).

13. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)14. ☒ Other: Check for \$797.005. ☐ Incorporation By Reference (usable if box 4B is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4B, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein

Request for Priority

15. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner: Group Art Unit:

16. Amend the specification by inserting before the first line the sentence:

☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)

of application Serial No. Filed on

☒ This application claims priority of provisional application Serial No. 60/254,734 Filed December 11, 2000

17. CORRESPONDENCE ADDRESS

LONG ALDRIDGE & NORMAN LLP
701 Pennsylvania Avenue, N.W., Suite 600
Washington, D.C. 20004
(202) 624-1200
FACSIMILE: (202) 624-1298

Name: Seng K. Jung

Registration No.: 35,210


Signature: Rebecca A. Goldman

Date: December 10, 2001

Name: Rebecca A. Goldman

Registration No.: 41,786

1006557-100001

Docket No.	9915.007.00				
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE					
INVENTOR(S)	John M. Lancaster et al.				
SERIAL NO:	To Be Assigned				
FILING DATE:	December 10, 2001				
FOR:	SYSTEMS AND METHODS FOR USING DERIVATIVE FINANCIAL PRODUCTS IN CAPACITY-DRIVEN INDUSTRIES				
FEE TRANSMITTAL					
COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231					
FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS	
TOTAL CLAIMS	63 - 20 =	43	x \$18 =	\$774.00	
INDEPENDENT CLAIMS	3 - 3 =	1	x \$80 =	\$0.00	
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$270 =	\$0.00	
<input type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$0.00	
BASIC FEE				\$740.00	
TOTAL OF ABOVE CALCULATIONS				\$1,514.00	
<input checked="" type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$757.00	
<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE	+ \$130 =			\$0.00	
<input type="checkbox"/> RECORDATION OF ASSIGNMENT	+ \$40 =			\$40.00	
TOTAL				\$797.00	
<input type="checkbox"/> Please charge Deposit Account No. <u>50-0911</u> in the amount of			A duplicate copy of this sheet is enclosed.		
<input checked="" type="checkbox"/> Checks totaling		<u>\$797.00</u>	to cover the filing and surcharge fees are enclosed.		
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. <u>50-0911</u> . A duplicate copy of this sheet is enclosed.					
			Respectfully Submitted,		
Date: December 10, 2001			LONG ALDRIDGE & NORMAN LLP		
					
Sixth Floor 701 Pennsylvania Ave., N.W. Washington, D.C. 20004 Tel. (202) 624-1200 Fax. (202) 624-1298			Rebecca A. Goldman		
			Registration No. 41,786		